



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

GAU 2121
#2
BST
10-25-01
RECEIVED
OCT 17 2001
Group 2100

Applicant: Lawrence Yium-chee Chiu et al. Examiner: Not yet assigned
Serial No.: 09/851,452 Group Art Unit: 2121
Filed: May 7, 2001 Docket: ARC920000055US1
Title: METHOD AND APPARATUS FOR A GLOBAL CACHE DIRECTORY IN A STORAGE CLUSTER

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on October 8, 2001.

By: [Signature]
Name: George H. Gates

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing a Certificate of Mailing under 37 CFR 1.8.
- ☒ Information Disclosure Statement and Form PTO-1449.
- ☒ Cited Reference(s).
- ☒ Return postcard.

Please consider this a **PETITION FOR EXTENSION OF TIME** for a sufficient number of months to enter these papers, if appropriate.

Please charge all fees to Deposit Account No. 09-0441 of IBM Corporation, the assignee of the present application. A duplicate of this paper is enclosed.

GATES & COOPER LLP
Howard Hughes Center
6701 Center Drive West, Suite 1050
Los Angeles, CA 90045
(310) 641-8797

By: [Signature]
Name: George H. Gates
Reg. No.: 33,500
GHG/sjm

(PTO TRANSMITTAL - GENERAL)



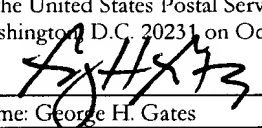
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED
OCT 17 2001
Group 2100

Applicant: Lawrence Yium-chee Chiu et al. Examiner: Not yet assigned
Serial No.: 09/851,452 Group Art Unit: 2121
Filed: May 7, 2001 Docket: ARC920000055US1
Title: METHOD AND APPARATUS FOR A GLOBAL CACHE DIRECTORY IN A
STORAGE CLUSTER

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on October 8, 2001.

By: 
Name: George H. Gates

INFORMATION DISCLOSURE STATEMENT(37 C.F.R. §1.97(b))

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. §1.98(a)(2), a copy of each document or other information listed on the enclosed Form 1449 is provided.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art". Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please direct any response or inquiry to the below-signed attorney at (310) 641-8797.

Respectfully submitted,

Lawrence Yium-chee Chiu et al.

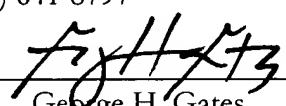
By their attorneys,

GATES & COOPER LLP
6701 Center Drive West, Suite 1050
Los Angeles, California 90045
(310) 641-8797

Date: October 8, 2001

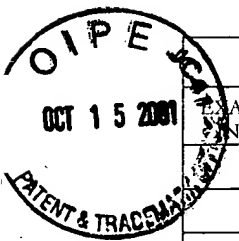
GHG/sjm

By: _____


George H. Gates

Reg. No.: 33,500

Form 1449*	Docket Number: ARC92000055US1	Application Number: 09/851,452
INFORMATION DISCLOSURE STATEMENT		
Applicant: Lawrence Yium-chee Chiu et al.		
Filing Date: May 7, 2001		Group Art Unit: 2121
IN AN APPLICATION		



U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
FOREIGN PATENTS							
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
		E. Omiecinski et al., "Performance Analysis of a Concurrent File Reorganization Algorithm for Record Clustering," 1994, IEEE Transactions on Knowledge and Data Engineering, 6(2):248-257					
		E. Omiecinski et al., "Concurrent File Reorganization for Record Clustering A Performance Study," 1992, IEEE, pp. 265-272					
		F.E. Bassow, IBM AIX Parallel I/O File System: Installation, Administration, and Use. IBM, Kingston, 1995. Document No. SH34-6065-02					
		R. Bennett et al., "Jovian: A Framework for Optimizing Parallel I/O," 1994, IEEE Computer Society Press, pp. 10-20					
		P.F. Corbett et al., "The Vesta Parallel File System," 1996, ACM Transactions on Computer Systems, 14(3):225-264					
		J. Huber et al., "PPFS: A High Performance Portable Parallel File System," 1995, In Proc. of the 9th ACM Int'l Conf. on Supercomputing, ACM Press, pp. 385-394					
		D. Kotz et al., "Caching and Writeback Policies in Parallel File Systems," 1991, IEEE Symp. on Parallel Distributed Processing, pp. 60-67					
		S. Moyer et al., "PIOUS: A Scalable Parallel I/O System for Distributed Computing Environments," 1994, In Proc. of the Scalable High-Performance Computing Conference, pp. 71-78					
		W. Ng et al., "The systematic improvement of fault tolerance in the Rio file cache," 1999, In Proc. of 1999 Symposium on Fault-Tolerant Computing, 1999, pp. 76-83					
		N. Nieuwejaar et al., "The Galley parallel file system," 1997, Parallel Computing, pp. 1-35					
		B. Nitzberg, "Performance of the iPSC/860 Concurrent File System," 1992, Technical Report RND-92-020, NAS Systems Division, NASA Assoc Research Center					
		N. Peyrouze et al., "An efficient fault-tolerant NFS server designed for off-the-shelf workstations," 1996, IEEE Proceeding of 1996 Symp on Fault-Tolerant Computing, pp. 64-73					
		P. Pierce, "A concurrent File System for a Highly Parallel Mass Storage Subsystem," 1989, In Proc. of the Fourth Conf. on Hypercube Concurrent Computers and Applications, pp. 155-160					
		A. Purakayastha et al., "ENWRICH: A compute-processor write caching scheme for parallel file systems," 1996, ACM Press In Proc. of the Fourth Workshop on Input/Output in Parallel and Distributed Systems, pp. 55-68					
		K.E. Seamons et al., "Server-Directed Collective I/O in Panda," 1995, In Proc. of Supercomputing, IEEE, pp. 1-14					
		R. Thakur et al., "Passion: Optimized I/O for Parallel Applications," 1996, IEEE Computer, 29(6):70-78					

EXAMINER:	DATE CONSIDERED:
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	